



Express Mail No.: EM 061 024 592 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Pramod K. Srivastava

Application No.: 09/411,075

Filed: October 4, 1999

For: PURIFICATION OF HEAT SHOCK/ STRESS
PROTEIN CELL SURFACE
RECEPTORS AND THEIR USE AS
IMMUNOTHERAPEUTIC AGENTS

Group Art Unit: 1636

Examiner: Not yet assigned

Attorney Docket No.: 8449-054-999

RECEIVED

DEC 14 1999

TECH CENTER 1600/2900

REQUEST FOR REFUND PURSUANT TO 37 C.F.R. § 1.28(a)

Assistant Commissioner for Patents
Washington, D.C. 20231

Attention: Refund Section, Accounting Division

Sir:

A filing fee in excess of the required fee has been paid in connection with the subject patent application. In particular, a fee of \$3,366.00 has been timely paid from Pennie & Edmonds LLP Deposit Account No. 16-1150, of which \$1683.00 is in excess of the amount now required. Submitted concurrently herewith is a Transmittal of Verified Statements and Request to Establish Small Entity Status. Pursuant to 37 C.F.R. § 1.28(a), Applicant requests a refund of the excess amount within two months of its timely payment.

Accordingly, please refund the excess by crediting \$1,683.00 to Deposit Account No. 16-1150. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Date: December 6, 1999

Adriane M. Antler

Adriane M. Antler

PENNIE & EDMONDS LLP

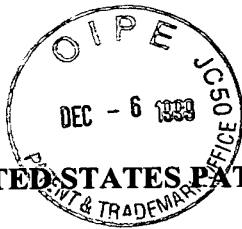
1155 Avenue of the Americas

New York, New York 10036-2711

(212) 790-9090

32,605
(Reg. No.)

Enclosures



Express Mail No.: EM 061 024 592 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Pramod K. Srivastava

Application No.: 09/411,075

Group Art Unit: 1636

Filed: October 4, 1999

Examiner: Not yet assigned

For: PURIFICATION OF HEAT SHOCK/
STRESS PROTEIN CELL SURFACE
RECEPTORS AND THEIR USE AS
IMMUNOTHERAPEUTIC AGENTS

Attorney Docket No.: 8449-054-999

**TRANSMITTAL OF VERIFIED STATEMENTS AND
REQUEST TO ESTABLISH SMALL ENTITY STATUS**

Assistant Commissioner for Patents
Washington, D.C. 20231

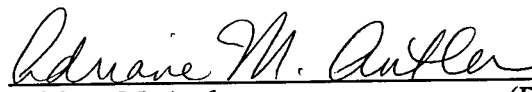
Sir:

The Applicant submits herewith the following documents for the above-mentioned application: (1) a Verified Statement Claiming Small Entity Status for the University of Connecticut Health Center; and (2) a Verified Statement Claiming Small Entity Status for Antigenics, LLC. The Applicant has assigned his entire right, title and interest in the instant application to the University of Connecticut Health Center. The University of Connecticut Health Center has granted certain rights in the application to Antigenics, LLC. The University of Connecticut qualifies as a Small Entity under 37 C.F.R. §§ 1.9(f) and 1.27(d). Antigenics, LLC qualifies as a Small Entity under 37 C.F.R. §§ 1.9(f) and 1.27(c).

It is respectfully requested that the application be accorded Small Entity Status in accordance with 37 C.F.R. §§ 1.9(f), 1.27(c) and 1.27(d).

Respectfully submitted,

Date: December 6, 1999

 32,605
Adriane M. Antler (Reg. No.)
PENNIE & EDMONDS LLP
1155 Avenue of the Americas
New York, New York 10036-2711
(212) 790-9090

Enclosures



Express Mail No.: EM 061 024 592 US

FILE COPY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Pramod K. Srivastava

Application No.: 09/411,075

Group Art Unit: 1636

Filed: October 4, 1999

Examiner: Not yet assigned

For: PURIFICATION OF HEAT SHOCK/
STRESS PROTEIN CELL SURFACE
RECEPTORS AND THEIR USE AS
IMMUNOTHERAPEUTIC AGENTS

Attorney Docket No.: 8449-054-999

REQUEST FOR CORRECTED FILING RECEIPT

Assistant Commissioner for Patents
Washington, D.C. 20231

Attn: Application Processing Division
Customer Correction Branch

Sir:

Applicants respectfully request that the Patent Office correct the Filing Receipt for the above-identified application. In particular, the priority data is missing on the Filing Receipt. The application claims priority under 35 U.S.C. § 119(e) to application no. 60/103,115 filed on October 5, 1998.

Enclosed herewith is a copy of the incorrect Filing Receipt with the missing priority information noted thereon in red ink. To support their position, Applicant also encloses herewith, as Exhibit A, copies of page 1 of the application, the unexecuted Declaration and Power of Attorney, and the fee transmittal sheet, as filed on October 4, 1999, indicating the claimed priority to application no. 60/103,115.

Since this error is on the part of the Patent Office, it is estimated that no fee is required for this submission. However, if any fee is required, authorization is hereby given to charge the amount of any such fee to Pennie & Edmonds LLP Deposit Account No. 16-1150.

Applicant respectfully requests that a corrected Filing Receipt be issued.

In addition, since papers to establish Small Entity Status are being filed on even date herewith, Applicant respectfully requests that Small Entity Status also be noted on the Filing Receipt.

Respectfully submitted,

Date: December 6, 1999

Adriane M. Antler 32,605
Adriane M. Antler (Reg. No.)

PENNIE & EDMONDS LLP
1155 Avenue of the Americas
New York, New York 10036-2711
(212) 790-9090

Enclosures

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTORNEY DOCKET NO. | DRWGS | TOT CL | IND CL |
|--------------------|--------------|--------------|---------------|---------------------|-------|--------|--------|
| 09/411,075 | ✓ 10/04/99 ✓ | 1636 | \$3,366.00 | 8449-054-999 | 5 | 68 | 22 |

PENNIE & EDMONDS
1155 AVENUE OF THE AMERICAS
NEW YORK NY 10036

DB-114/00

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) PRAMOD K. SRIVASTAVA, AVON, CT.

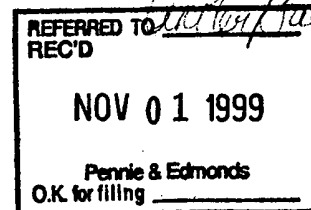
CONTINUING DATA AS CLAIMED BY APPLICANT -
PROVISIONAL APPLICATION NO. 60/103,115 10/05/98

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 10/26/99

TITLE

PURIFICATION OF HEAT SHOCK/STRESS PROTEIN CELL SURFACE RECEPTORS AND
THEIR USE AS IMMUNOTHERAPEUTIC AGENTS

PRELIMINARY CLASS: 435



DATA ENTRY BY: ANISTEAD, KIRK

TEAM: 04 DATE: 10/26/99



(See reverse for new important information)